ARS-115 Publication Approval

Chapter 5. ARS-115 Publication Approval

Introduction

The ARS-115 "Request to Submit Manuscript for Publication" is required when an ARS employee wishes to publish any type of publication or to present a paper, talk, poster, etc., at any scientific meeting or forum, outside of ARS/USDA. **The ARS-115 must be submitted and approved through ARIS prior to submitting the publication to the journal and/or giving the presentation**. (see also P&P 152.1 & pg. 35)

NOTE: If a publication has ARS authors from multiple locations, only one ARS-115 should be entered. The first (highest authorship) ARS Author must enter the ARS-115 and provide the information (Log #) to the other ARS authors.

Entering a New ARS-115

To enter a new ARS-115, from the ARIS Main Menu, select the "**Research/Agreements**" icon. From the Research Documentation/Extramural Agreements screen, select "**Work**" and "**115**" (fig. 1).
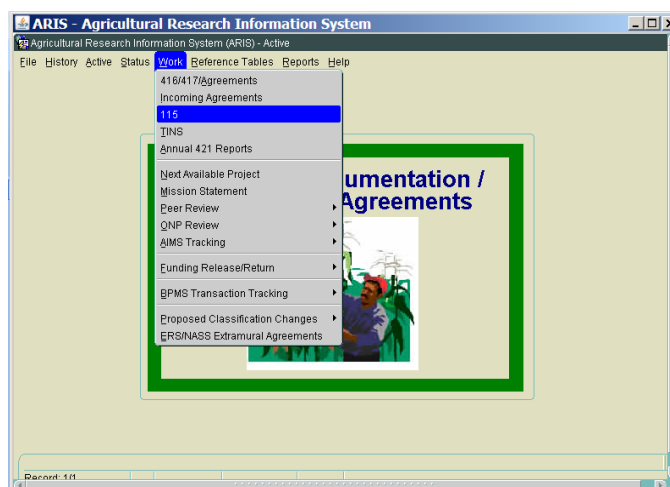
Figure 1 – Research Documentation Screen

The Work File List screen will open. If you have any records in your Work file, they will be displayed here (fig. 2).
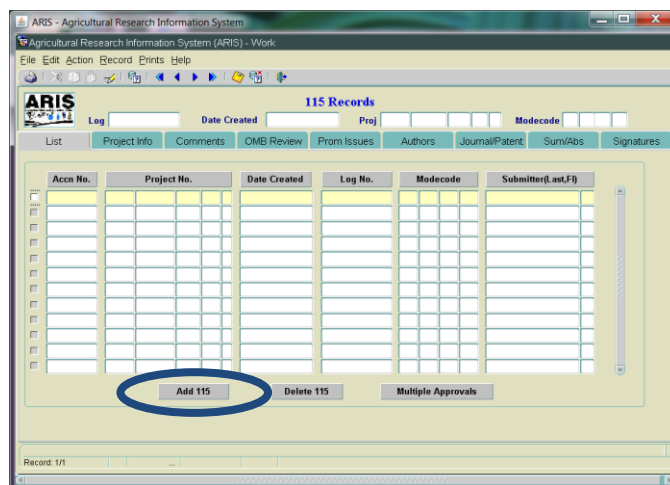
Figure 2 – Work File – List Screen

To add a new ARS-115, click the "**Add 115**" button at the bottom of the screen. The Project Information screen will be displayed along with a window listing all 416 projects (fig. 3).
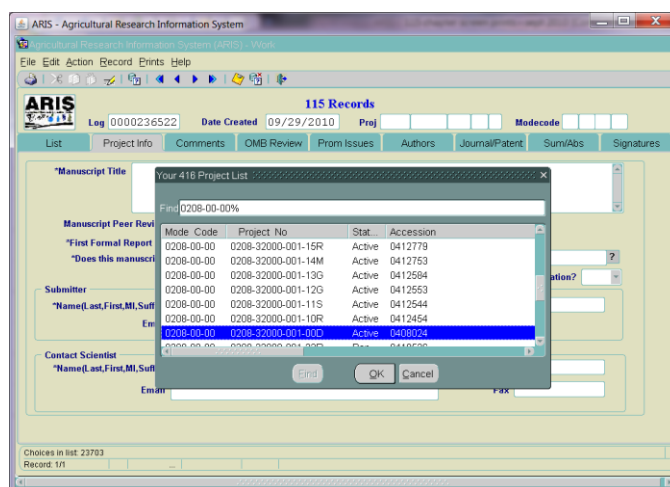
Figure 3 – Listing of 416 Projects

Choose the project number that the ARS-115 should be linked to by placing the cursor on the project number. Scroll down the list or search for the appropriate project number (see Chapter 1 for searching techniques). NOTE: 88888 project numbers generally should not be chosen.

Note: Choose the project number carefully. Once the project number is chosen and the ARS-115 is entered and saved, the project number **CANNOT** be changed. If added incorrectly, a new ARS-115 will have to be entered to correct the project number and the incorrect ARS-115 will need to be deleted.

Once the project number is found, highlight it and click "**OK**." The project number will be inserted into the ARS-115 and a log number will be assigned, which is a permanent identifier.

Once the project number is inserted, continue adding the remaining information on the Project Information screen (fig. 4).

Figure 4 – Project Information Screen

Note: Always use the "**?**" or List of Values (LOV) next to a field, if available, when entering data in ARIS. This ensures that the proper data from the reference tables will be inserted accurately.

The information to be added on the Project Information screen includes:
(* notes a required field)

Manuscript Title*	The title should be entered as it should be shown within the citation, using **Sentence Case** (e.g. Tillage and crop rotation effects on drainage water quality)
Manuscript Peer Reviewed	Has the publication been Peer Reviewed? (Note: this is ARS Peer review, not the journal's peer review requirements. Select Yes or No from the LOV.)
Does this manuscript report CRADA research?*	Select Yes or No from the LOV. If the answer is Yes, the CRADA No. and Notification fields are required. If the answer is No, select No and the CRADA No. field must be left blank. If the question was originally answered Yes at any point and subsequently changed to No, the CRADA No. and Notification fields will then be automatically cleared.
CRADA No.	Click the "?" and a list of CRADA numbers will be provided. Choose the appropriate CRADA number. The CRADA number will be validated against the ARS-115 associated research project.
Has the CRADA Cooperator Reviewed and Approved this Publication.	Select Yes or No from the LOV. This is a required field if the answer to "Does this manuscript report CRADA research?" is Yes. To approve the ARS-115, the answer must be Yes.

First Formal Report other than Abstract*	Select Yes or No. Is this the first formal report for this research? **If Yes, an interpretive summary is required. If entering an Abstract only, the answer should always be No.** (also see Matrix on pg. 33)
Submitter*	The submitter of the manuscript should be listed here along with their e-mail address and phone number. The submitter must be an ARS employee, Category 1, 4, or 6. *NOTE: Category 2 (post-docs) cannot be selected as Submitter.*
Contact Scientist*	List the ARS person to contact if someone has a question about the manuscript along with their phone number, e-mail address, and fax number. The contact must be an ARS employee, Category 1, 4, or 6. *NOTE: Category 2 (post-docs) cannot be selected as Contact.*

To choose the Contact Scientist and Submitter, click the "**?**" and a list of ARS employees will be displayed. Highlight the correct ARS scientist to be the Submitter and/or Contact Person, and click "**OK**". The names chosen will be automatically inserted in the Project Information screen. Add the e-mail address, phone number, and fax number.

Once all the information is entered on the Project Information screen, select the "**Comments**" tab to move to the Comments screen (fig. 5a).

Click the "**Add Comments**" button (fig. 5a) to enter comments for the submitted ARS-115. **C**learly describe the action/submission in the Comments field so all reviewers have a clear understanding of the requested action.

Once all comments are entered, click the "**save**" button (fig. 5b) and all comments will be saved with the current Date of Transaction (fig. 5c).

Notes:
If entering a meeting abstract, the meeting information including the meeting name, location, and dates must be entered here. *(e.g., To be presented at the Annual Weed Science Meeting, December 4-6, 2011, Parlier, California).*

If a waiver is requested and approved for clearance of non-ARS authors, include this information in the Comments as well as the reason for the waiver. Additionally, this waiver must be sent through the respective Area Office 115 Contact to Headquarters for approval.
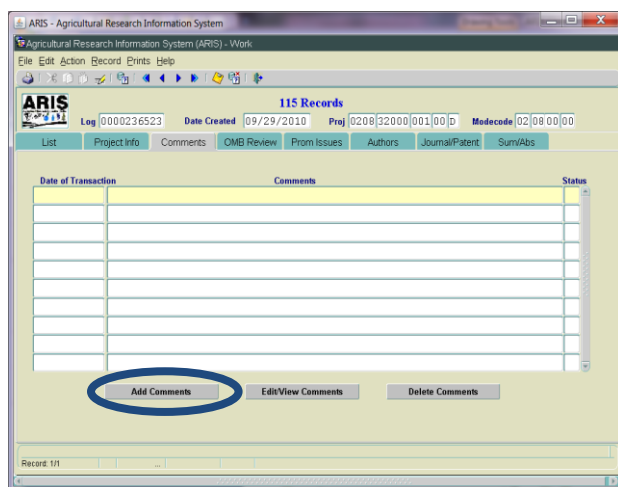
Figure – 5a – Comments Screen
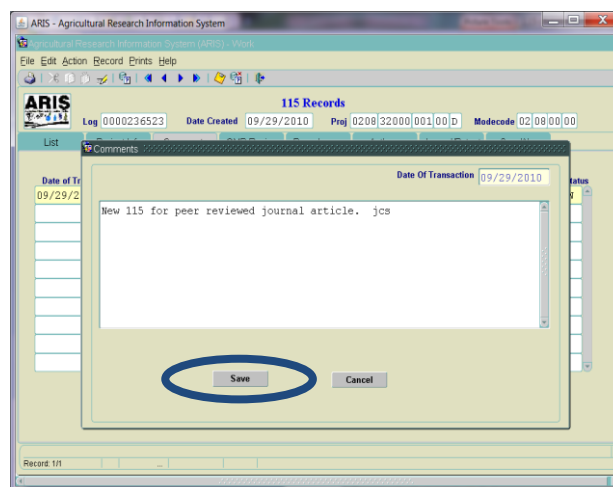
Figure – 5b – Comments Entered
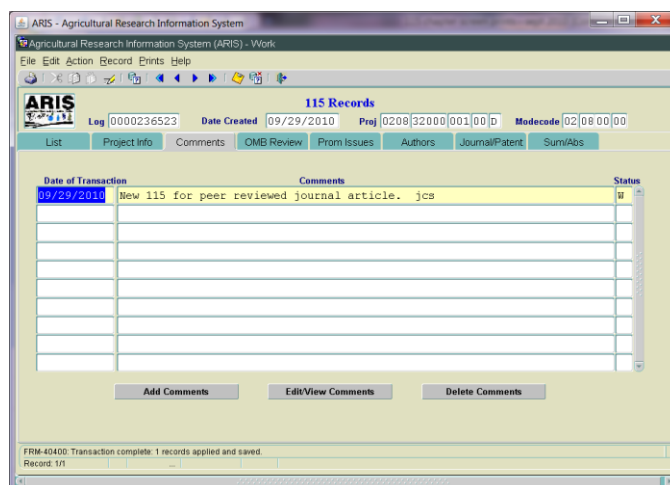
Figure 5c – Completed Comments

Once data entry is complete, select the "**Prominent Issues**" tab to move to the Prominent Issues screen (fig. 6).

Note: If visible, skip over the OMB Peer Review tab. This tab WILL ONLY be filled in for the publications that fall under OMB Peer Review process.(Area use only)

Prominent Issues   (NEW)

Often ARS scientific manuscripts report research findings and interpretations related to hot topic and/or other special interest topics that are prominently visible to the general public, agricultural, and/or scientific communities. Such topics can become prominent issues. However, not every manuscript on such topics may be a prominent issue.

There are five designations on the ARS-115 for Prominent Issues:
- Potential to Attract Media Attention
- Represents a Significant Scientific Advancement*****
- Significantly Affect Existing or Future USDA Policy
- Potential Trade Implications
- Other (description required)

**Represents a Significant Scientific Advancement: An advancement that will draw broad, robust attention to the project because of its scientific merit and/or because it changes the way we think about policy or government actions. It is not dependent on where it is published, but more importantly, what is being published.*

If the ARS-115 relates to any one of these prominent issue designations or multiple designations, the box next to the respective designation should be checked (fig. 6a and 6b).   More than one can be checked.

If any of these designations are marked, the ARS-115 will then automatically be indicated as "Prominent Issues" and will be designated as such on the Signature page and will be sent to the Area for approval and ONP for approval of the Prominent Issue designation. It is the responsibility of all management levels to indicate if the manuscript falls into any of these categories.
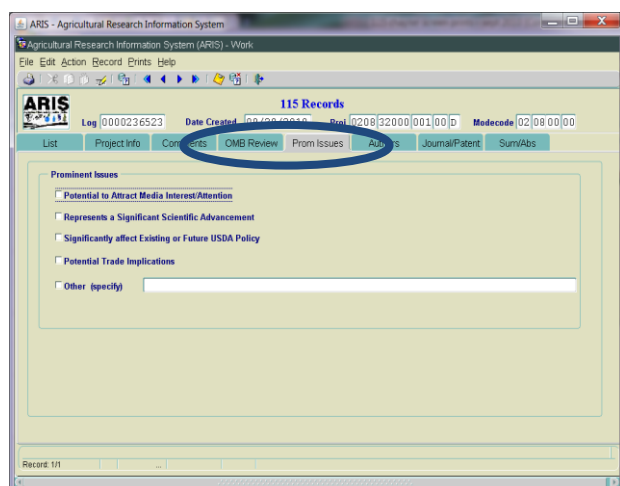
Figure 6a – Prominent Issues Screen
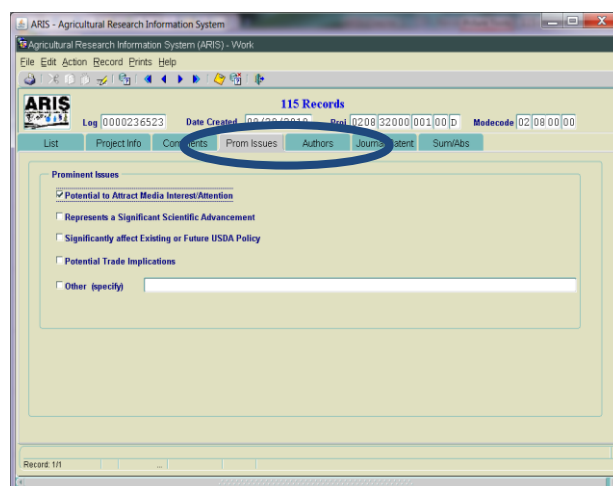
Figure 6b – Completed Prominent Issues Screen

Once data entry is complete, select the "**Authors**" tab to move to the Authors screen (fig. 7a).
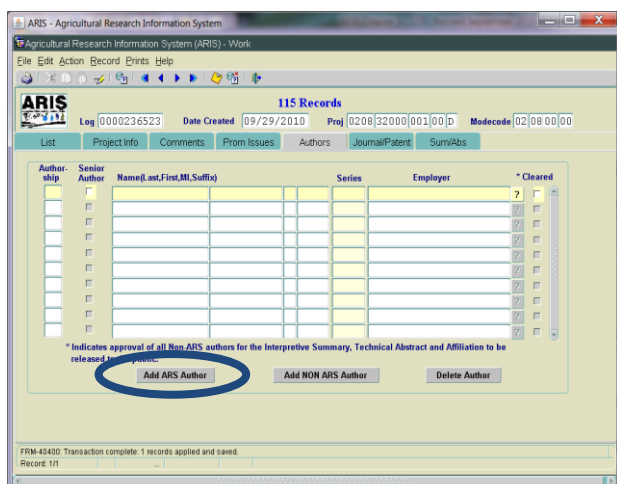
Figure 7a – Authors Screen
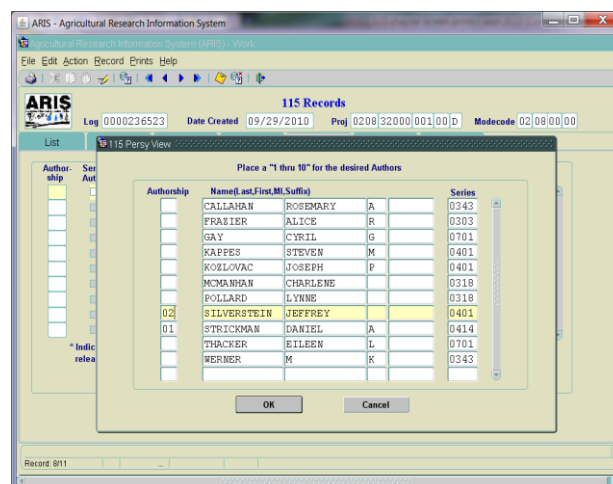
Figure 7b – List of Authors in Mode Code

To add the ARS Authors, click the "**Add ARS Author**" button (fig. 7a) and a list of ARS employees within your mode code will be displayed (fig. 7b).

Choose the ARS authors by entering the number of authorship (such as 01, 02, 03, etc.) next to the names of the authors on the list, then click "**OK**" (fig. 7b). *(Note: There can only be one author listed as first author, e.g., 01).*

Enter a "☑" in the box for the Senior Author. Only one author can be noted as "senior author". *NOTE: It is not required to have a "senior author" designation. However, this designation should be used uniformly to ensure accuracy of data. NOTE: The Senior Author does not necessarily have to be the First or Last author.* (see pg. 31 for more information on Senior Author designation.)

The names and authorship will be inserted on the Authors screen (fig. 7c). NOTE: You can enter all the ARS authors first, even if they are not in authorship order, and then add all non-ARS authors. ARIS will automatically put the authors in authorship order.
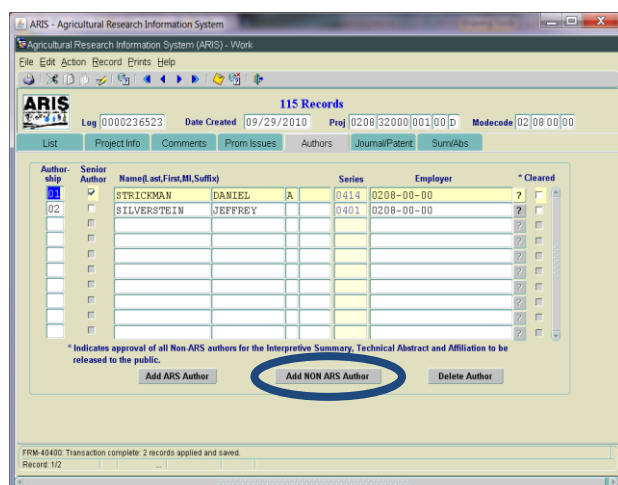
Figure 7c – Add Non ARS Author
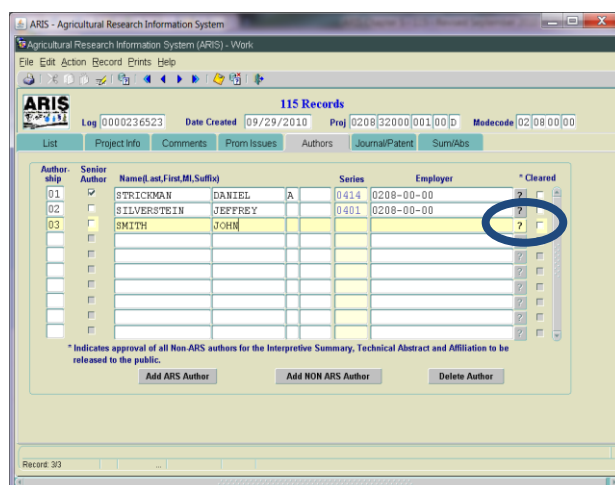
Figure 7d - Add Non ARS Author Employer

9

If there are Non-ARS authors, click the "**Add NON ARS Author**" button (fig. 7c) and the next line on the Authors screen will be highlighted. Add the authorship, the Non-ARS author's name (fig. 7d), and click the "?" to select the Non ARS Author employer from the LOV (fig. 7e).
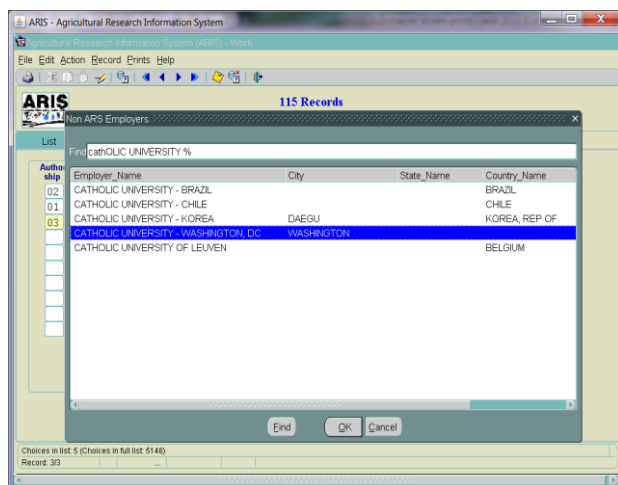
Figure 7e – Non ARS Author Employer LOV   **Figure 7f – Completed Author List**
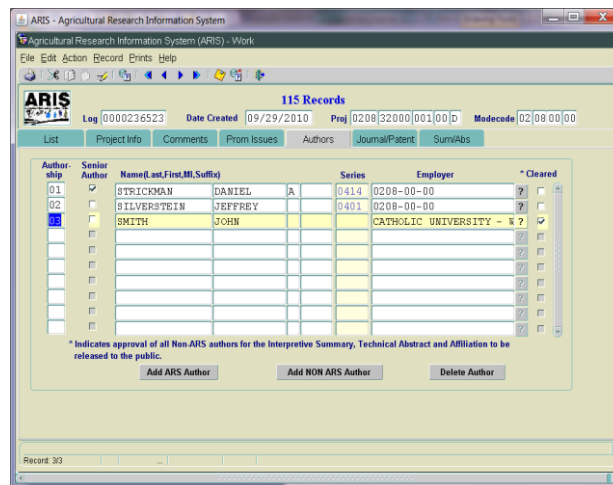
Once the employer is found, highlight it and click "**OK**". The employer will be inserted into the Authors screen (fig. 7f).

If the employer is not listed in the Reference Table, contact your Area 115 Contact to have a new code established. They will verify a new code is required and will send the request to Headquarters. Provide the following information when requesting a new code:

- Name of Institution (high level, e.g. University of Georgia; University of California instead of University of California, Davis)
- If foreign, English translation
- Address
- URL, if available

If the Non-ARS Author does not have an associated employer, a generic code can be used. However, these only should be used if no other employer affiliation is appropriate. The table below indicates the available generic codes.

Code	Title
31815	Farmer
31638	Former ARS Employee
32962	Non ARS Employee (only use in extenuating circumstances)
12108	Retired ARS Employee
31895	Retired Non ARS Employee

To add ARS authors from outside your mode code (if cooperative projects and publications have taken place), move to another screen by selecting another tab and then go back to the Authors screen. Click the "**Add ARS Authors**" button and the system will display a list of **all** ARS employees (fig. 7g). Search to find the author, highlight, and click "**OK**". The author will be inserted into the Author screen. Add the authorship value.
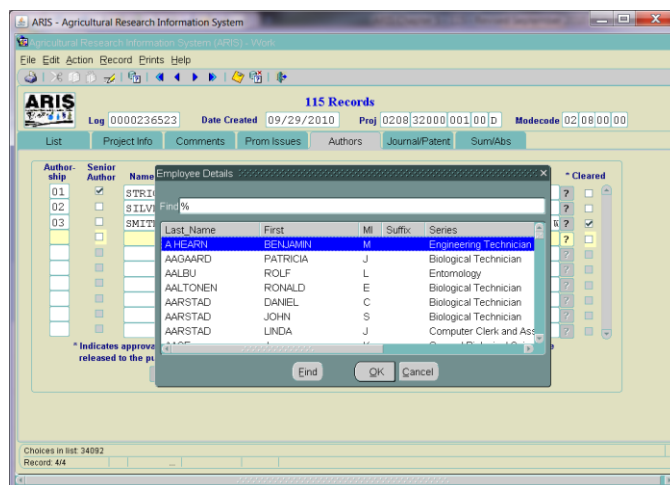
Figure 7g - List of All ARS Employees

Note: There is no limit on the number of authors listed on each ARS-115. However, each ARS-115 is required to have at least one author and there can only be one author with first authorship (e.g., listed as author – 01).

If an author is entered in error, highlight the line and click the "**Delete Author**".

For all non-ARS authors, the "**Cleared**" box to the right of their name must be checked ☑. This indicates approval by all non-ARS authors that the Interpretive Summary, Technical Abstract, and Affiliation may be released to the public. This box must be checked for all non-ARS authors before the ARS-115 can be approved to the next level. A request to waive clearance can be submitted, but only in extenuating circumstances. An email request waiver must be sent through the Area 115 Contact to the Headquarters Program Analyst to obtain approval prior to submitting the 115. If approved, a statement must be entered in the Remarks section stating the reason for the waiver and the approval date.

Once all authors have been entered, select the "**Journal/Patent**" tab, to display the Journal/Patent screen (fig. 8).

Figure 8 – Journal/Patent Screen

Enter the following information on the Journal/Patent screen:
(* indicates a required field)

Journal or Equivalent*	Enter the Journal or Equivalent Code by clicking on the "?" to choose the appropriate journal. Once the Journal Code is chosen, the journal name will propagate into the field. (see Chapter 1 for searching techniques). If the Journal Code is not listed, submit a request for a new Journal Code to your Area 115 Contact (see Requesting a New Journal Code section of this chapter, pg. 26).
Publication Type*	Enter the publication type by choosing from the LOV. Choices include: Abstract (A), Book Chapter (B), Experiment Station (E), Germplasm Registration Article (H) (*must have approved Plant Material Docket prior to entering this publication type*), Government Publication (V), Literature Review (L), Monograph (M), Patent Application (Z) (*see Patent Application information below*), PCT Application (Patent Cooperation Treaty) (C), Peer Reviewed Journal (J), Popular Publication (O), Proceedings/Symposium (P), Research Notes (N), Research Technical Update (U) (*only to be used with Journal Code #91858*), Review Article (R), Trade Journal (T), or Other (X). *NOTE: Publication type should reflect the actual publication, not be based on where it is being published (e.g., "R" – Review Article should be chosen for a Review Article, even if being published in a peer reviewed journal.)*
Confidential until Published	This data will propagate automatically based on the Journal Code selected and is not modifiable. This is a requirement of the journal. If the journal or equivalent has a confidentiality requirement, then the ARS-115 will not be sent to TEKTRAN until the Publication Date has been entered and the Publication Date exceeds the current date.

Date Submitted to Journal*	This entry is required prior to entering an acceptance date.
Acceptance Date*	Journal Acceptance Date is required prior to adding a publication date and citation. This field is left blank until the publication has been accepted by the journal. Once the Acceptance Date is known, it should be added on the ARS-115 (see Modifying an Active ARS-115 section of this Chapter, pg. 18 & 21). Once an acceptance date is entered, the publication will then go to TEKTRAN barring other "hold" flags.
Previously Submitted	Select Yes or No. The system default is No. If the manuscript has been previously submitted to a journal and/or ARS for approval, change this to Yes. *Note: if previously submitted to a journal and it was rejected, and being submitted to a new journal, change to Yes **and indicated this information in the Remarks section**.*
Repository URL and Go to URL Button*	The URL for the actual reprint submitted to the NAL Digital Repository should be entered here **only after the publication date has been entered. The system will not allow entry of a URL until the publication date is entered. *NOTE: Do not enter http://. Start the URL with www. The system automatically enters the http://.***
Publication Date*	This field is left blank until the Publication Date is known. Once known, the Publication Date should be entered (see Modifying an Active ARS-115 section of this Chapter, pg. 21*). **Note: *Once a publication date is entered, vol/page field and a citation will be required.***
Hold from TEKTRAN until Published	Check (√) this box if the ARS-115 should be held from TEKTRAN until after the manuscript is published. The ARS-115 will not go to TEKTRAN until the Publication Date has been entered or the Publication Date exceeds the current date. This field is modifiable at all levels.
Hold from TEKTRAN Permanently	Check (√) this box if the ARS-115 should never go to TEKTRAN. This field is modifiable at all levels.
Hold from TEKTRAN for OTT Review	This is not modifiable by field users. OTT will use this box to review for Intellectual Property Rights, CRADA issues, etc. If the ARS-115 is associated with a CRADA or has potential for Intellectual Property Rights, this box will automatically be checked and the ARS-115 will go to OTT for review. Once reviewed, OTT will then modify the status to allow it to go to TEKTRAN accordingly.

Volume/Page*	Enter the volume and page number information (or other information is in place of the volume/page number) for the citation. This is a required field prior to adding the citation. *(e.g. 55(3):640-649). (Also see Appendix 1 for proper formatting)*
Citation	Before adding the citation, the Acceptance Date, Publication Date, and Volume/Page information must be entered. Once entered, use the "**Generate Citation**" button to generate the citation in the proper format. The generated citation includes authors (in authorship order), publication year (which is based on the Publication Date entered), title of publication, title of journal, and volume and page numbers. *Any edition information, etc., must be manually entered to complete the citation.* **Once generated, citations should be carefully reviewed for accuracy. See Appendix 2, Citation Format, for examples.**
Used on 421?	This is a nonmodifiable field. The system will automatically fill it in when the 115 Log number has been used on an AD-421. Once used on an AD-421, the 115 cannot be used again within the same mode code.
Never to be Published?	The box should be checked if the abstract, etc., will never be published (in print). If checked, there can be no citation and publication date entered. If the box is left blank, this indicates that it will be published at some point. *Note: If the publication is "never to be published" due to rejection from journal, remarks must be entered stating so.*
Retention of Intellectual Property Rights?*	Select Yes or No. If retention of intellectual property rights is required, choose Yes. If unsure, contact your Patent Advisor for guidance.
Patent Application Serial Number and Date Application Filed	These are required fields if the Publication Type is Patent Application or PCT Application (Patent Cooperation Treaty). The Patent Application Serial Number must be entered by using the LOV. You can either scroll down the LOV or search for a specific serial number. If the LOV does not include the serial number you are looking for, contact the Patent Advisor. The LOV will only display the numbers for the type of Application chosen. Once a serial number is chosen, the Serial Number and Date Application Filed will propagate into these fields. If the Publication Type is changed from a Patent, these fields will be cleared. **Note:** A 115 cannot be entered for a patent until the U.S. Patent and Trademark Office assigns a serial number.

When all data is entered, select the "**Sum/Abs**" tab to move to the Interpretive Summary/Technical Abstract screen (fig. 9a).
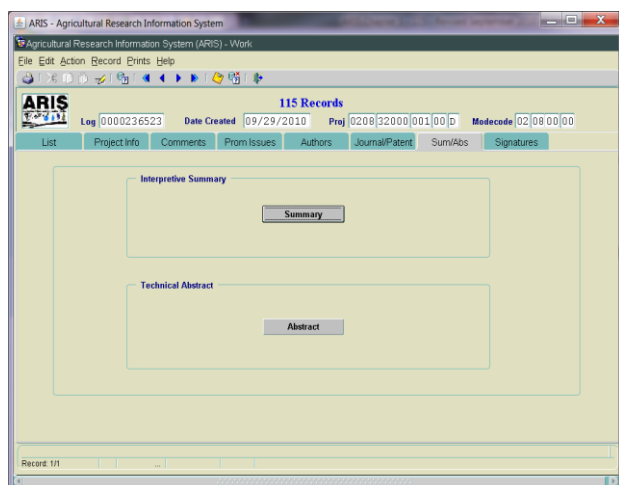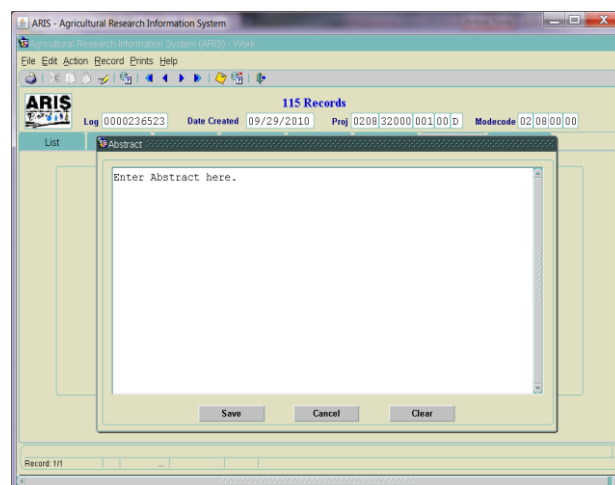
Figure 9a – Int Summary/Abstract Screen   **Figure 9b – Add Abstract Screen**

To add the Interpretive Summary, click the "**Summary**" button and a blank Summary page will be displayed (fig. 9b).

Add the Interpretive summary by manually typing the data in the space provided or copying and pasting the data from another source (such as Microsoft Word).   **Note:** Because a separate window opens when entering the interpretive summary or abstract, you must use **Ctrl C and Ctrl V** on your keyboard to copy or paste. When all data entry is complete, click the "**Save**" button at the bottom of the screen, and you will be returned to the Summary/Abstract screen.

Note: There is no character limit for the Technical Abstract or Interpretive Summary.

Note: Scientific notation cannot be used. Also, smart quotes and automatic bullets and numbering must be turned off when using Microsoft Word to import the abstract and interpretive summary (See Appendix 3 for instructions on Turning Off Smart Quotes and Apostrophes).

Add the Technical Abstract in the same manner as the Interpretive Summary (fig. 9a and 9b). Once complete, click the "**List**" tab, and you will return to the Work File List screen. The ARS-115 entry is now complete and will be displayed on your List screen.

Printing ARS-115s

The completed ARS-115 should be printed for review and approval. To print, mark (√) the ARS-115 from your List screen, click "**Prints**" and "**ARS 115**". ARIS will launch Adobe and display the ARS-115 print file. Click the Printer icon on the Adobe Toolbar.

Approval of ARS-115s

Once the ARS-115 has been approved through your Area's approval process, from your Work File List screen, select the "**Signatures**" tab. The Signature screen will be displayed (fig. 10).

Add the appropriate approving official's name and date of approval, and check (√) the appropriate box for approval or disapproval. Then click the "**List**" tab. ARIS will prompt "**Do you want to save these changes?**" If yes, click "**Save**", and you will return to your List screen. The ARS-115 will no longer be listed in your Work File and will be moved to the next level for approval.

Figure 10 – Signature Screen

If an ARS-115 is marked as a Prominent Issue (in the Prominent Issues tab), the Prominent Issues box will automatically be checked on the Signature screen. If marked as Prominent Issues, it will go to the Area for review and approval and to ONP for review and approval of the Prominent Issue designation.

A "**Y**" in the "**Prominent Issue**" box ensures line and program management are informed of the publication. It does not withhold information from publication or from public release through TEKTRAN.

All other ARS-115s will bypass ONP and go directly to the Active file with the exception of the 115s associated with projects coded to Dual-Use. These will also come to the Area and ONP for approval.

Official Approval Dates:

Official approval dates are as follows:

115s designated as Prominent Issues	Area Director approval date
115s associated with Dual Use	ONP approval date
All other 115s	RL or CD (if in approval process) level approval date

ARS-115 Status

To see where an ARS-115 is in the approval process, from the "**Research Documentation**" screen, select "**Status**" and "**115**" (fig. 11a).
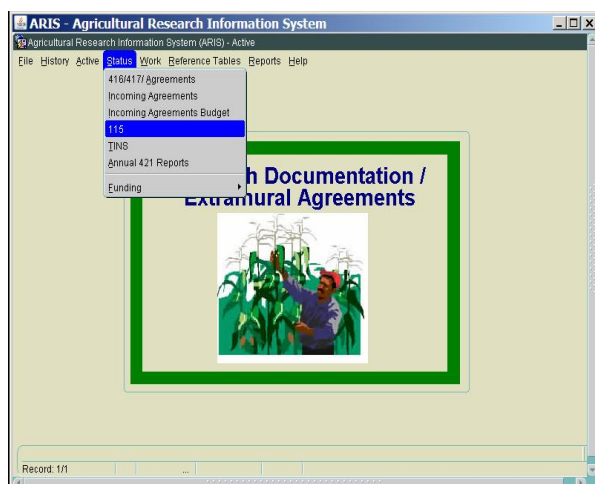
Figure 11a – Work Status
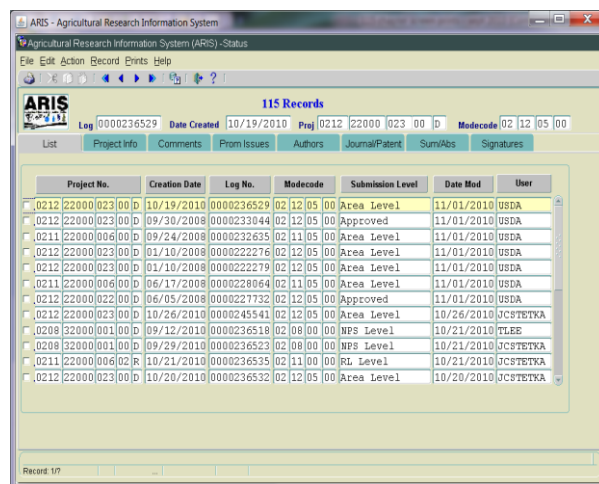
Figure 11b – Status List Screen

A list of all ARS-115s currently at any level in the Work process will be displayed (fig. 11b).   Anyone with ARIS access for the unit can view the Status file.

Scroll down to find the appropriate ARS-115 Log Number or query by clicking on "**Action**" and "**Query Screen**". A query screen will be displayed (fig. 11c).

Enter the query criteria (log number, mode code, project number, etc.) and execute the query. It is best to search by log number, if known. If not known, enter as much information in the query screen as possible to narrow the search. When the query is executed, the List screen will display all the ARS-115s that meet the criteria entered. Once the appropriate ARS-115 is displayed, you can see Submission Level. **Note:** You can only view and/or print from the Status screen. You cannot modify in Status.

Figure – 11c – Query Screen

Submission Levels*:*

RL Level	Research Leader Work File
CD/LD/DAD Level	Center or Location Work File
Area Level	Area Office Work File
NPS Level	Office of National Programs Work File
OTT Level	Office of Technology Transfer Work File
Approved	Approved (will be moved to the Active File through the overnite process)

Modifying Active ARS-115s

(Adding Date Submitted to Journal, Acceptance Date, or Repository URL Directly in Active File)

Completion of many fields is needed at different times during the ARS-115 progression and are required in a sequential order. Since addition of data in these fields doesn't require approvals, the data can be added directly into the Active record. These fields include: Date Submitted to Journal, Acceptance Date, and Repository URL.

Note: If no formal acceptance date is received, use of presentation date is acceptable.

To add the "Date Submitted to Journal" and/or "Acceptance Date", from the Active file, select "**Active**" and "**115**" (fig. 12a). The query screen will be displayed. Enter the Log # or other search criteria to find the appropriate 115 (fig. 12b) and click "**Query**" and "**Execute**".
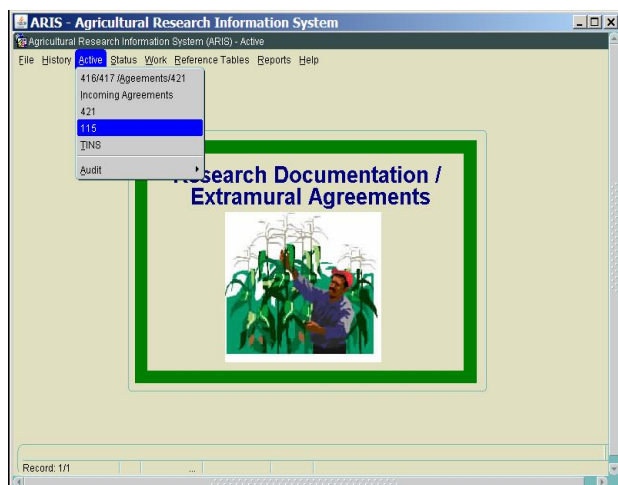
Figure 12a – Active 115
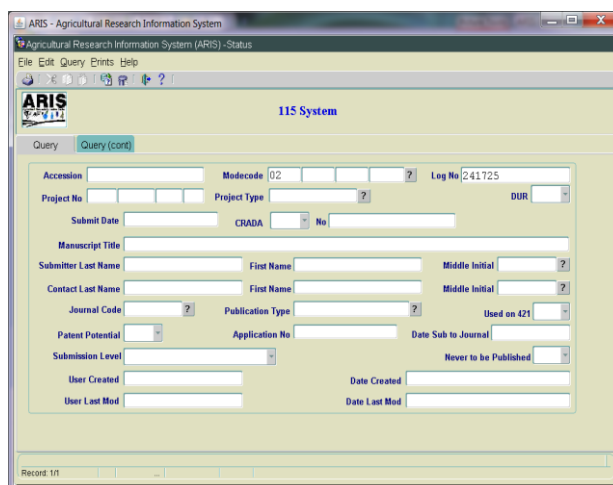
Figure 12b – Query Screen

The List screen will be displayed. Mark the record ☑ to be modified, select "**Action**", and "**Update Date Submit/Accpt Date**" (fig. 12c).   The Update Dates screen will be displayed (fig. 12d).
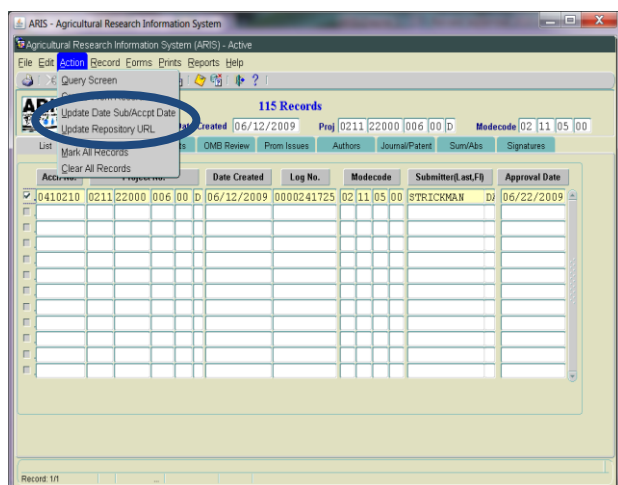
Figure 12c – Updates in Active
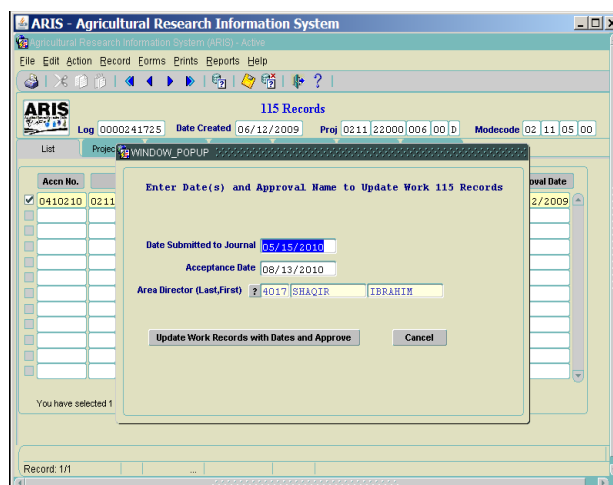
Figure 12d – Update Screen

Enter the Date Submitted to Journal, and/or Acceptance Date. Then, select the Area Director, by clicking the "?" and choosing from the LOV (fig. 12d). After entry is complete, click the "**Update work Records with Dates and Approve**" button. The system will automatically generate a comment for the action (fig. 12e) and mark the record as approved.

Note: Date Submitted to Journal is required prior to or at the same time as entering the Acceptance Date.
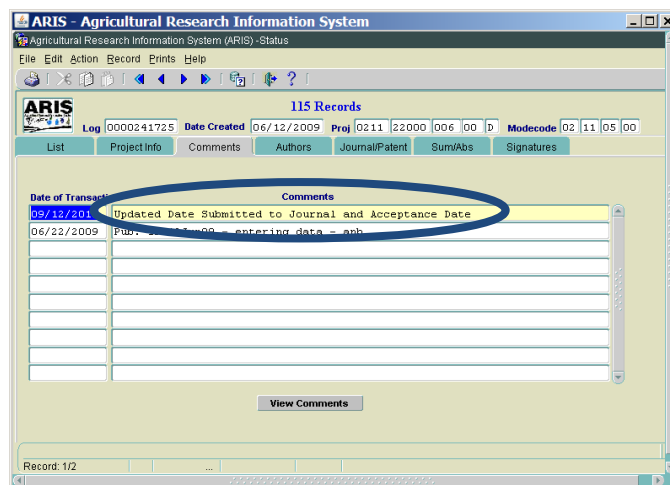
Figure 12e – Update Dates - Comments

Revising ARS-115s – Creation of Work Records

To modify an active (previously approved) ARS-115, a work record must be created from the active ARS-115. From the Research Documentation screen, click "**Active**" and "**115**". A query screen will be displayed (fig. 13a).

Figure 13a – Active Query Screen

Query for the specific ARS-115 that needs to be modified by entering the Log Number. If the Log Number is unknown, enter other information in the query screen to obtain the correct ARS-115.

Figure 13b – Active File List Screen

Once the information is entered on the query screen, execute the query by clicking the "**Execute Query**" button or by pressing "**Return**" on the keyboard. The ARS-115(s) will be displayed on the List screen. Mark the ARS-115 to be modified by placing a c heck ☑ in the box to the left of the project number, then click "**Action**" and "**Create Work Record**" from the Toolbar (fig. 13b). ARIS will prompt, "**Do you want to continue creating work records?**" Click "**Yes**" and the message "**Marked Record Processing is Complete**" will be displayed.

Exit your Active File and go to your 115 Work File. Locate the work record you created and modify as necessary. Once all modifications have been made, the ARS-115 should be printed for review and approved through your Area approval process.

If any of the following seven fields are the **only** fields modified, the ARS-115 will not have to go through the approval process again:

1. Date Submitted to Journal
2. Acceptance Date
3. Publication Date
4. Citation
5. Remarks
6. Repository URL
7. Volume/Page

Once the ARS-115 is approved at the RL Level, the ARS-115 will move to the Active File through the overnite process.

Adding Date Submitted to Journal, Journal Acceptance Date, Publication Date, and Citation Information

Adding the Date Submitted to Journal, Acceptance Date, Publication Date, and Citation information is an integral part of the completion of the 115 process. Entry of data in these fields does not require the 115 to go through the approval process. Once each respective date is known/met, the information should be entered on the 115 (also see pg. 18 for adding dates directly in active). Once the Publication Date is known, the Publication Date and volume/page information must be entered and the Citation can be generated.

The information in the citation field will propagate to the Annual Reports (during Annual Report data entry) if the ARS-115 is referenced on an Annual Report. Therefore, it is very important to add this information accurately and in a timely manner.

To add Date Submitted to Journal, Journal Acceptance Date, Publication Date, and/or citation information, create a work record as explained above for the appropriate ARS-115. Once the work record is created, go to your Work File List screen and highlight the ARS-115 that needs to be modified. Then, select the "**Journal/Patent**" tab to display the Journal/Patent screen (fig. 14a).

Figure 14a – Journal/Patent Tab

Add the pertinent data. After adding the Publication Date and Volume/Page information, when saving, ARIS will prompt you to enter the citation information.

To create the citation, the Acceptance Date, Publication Date, and Volume/Page fields must be entered (note: DO NOT put any punctuation at the end of the volume/page information). Once entered, you **MUST** click the "**Generate Citation**" button to initially generate the citation. The citation generated by ARIS is a complete citation. **However, you must review for accuracy of capitalization, and any additional information that may need to be added (fig. 14b).**

If you need to modify the information that propagates into the citation field, double click in the citation field. This will enable you to view the whole citation in an Editor Box and more easily modify as necessary (fig. 14c). Click "**OK**" after you have completed the modifications to the citation. *Note: It is very important to check for accuracy as this data propagates to the AD-421s and the web.*

Figure 14b – Generate Citation

Figure 14c – Editor Box

Note: If the citation field already contains information and the "**Generate Citation**" button is clicked, ARIS will not overwrite the existing citation. You must Clear the existing citation, then generate the new citation.

After all the information is entered, click the "**List**" tab, and ARIS will prompt, "**Do you want to save these changes?**" Click "**Save**" and you will be returned to the List screen.

Once the modifications are complete, add the approving official's name and date of approval. The record will move to the Active File through the overnite process. However, if any other fields are touched and/or modified, the record will have to go through the approval process again.

The publication will not go to TEKTRAN until the Acceptance Date is entered **AND** no other holding conditions are designated. Other holding conditions explained in "Adding a New ARS-115" section (pg. 13) may hold the manuscript from TEKTRAN temporarily or permanently.

Journal Codes

Query for a Journal Code

Before entering a new ARS-115, verify that a Journal Code is established for the specific journal or publication where the manuscript will be submitted. From the Research Documentation screen, click "**Reference Tables**", "**Misc.**", and "**Journals**" (fig. 15a).
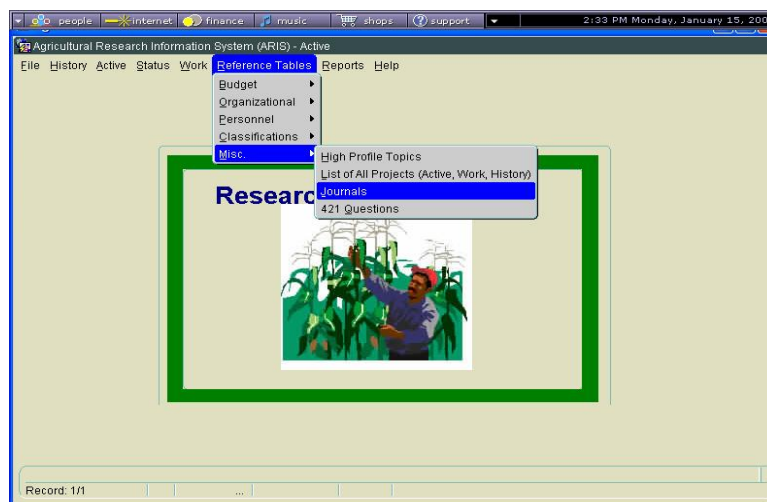
Figure 15a – Journals Reference Table

The Reference Table with all Journal Codes will be displayed (fig. 15b).
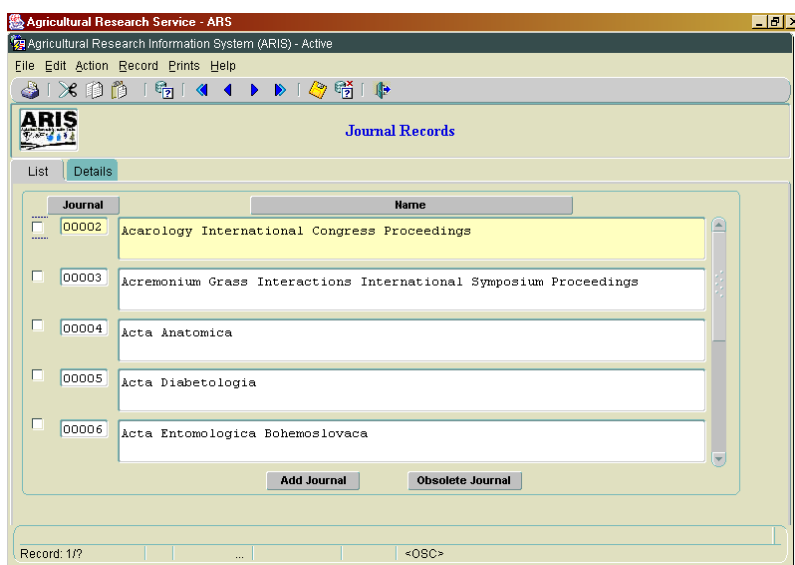
Figure 15b - Journal Code Reference Table

To query for a specific journal, click "**Action**" and "**Query Screen**" on the Toolbar to display a query screen. Even if you are sure of the journal name, it is best to use the wildcard "**%**" before and after the query string. To query, enter a part of the journal name with a "**%**" at the beginning and end of the search string under "**Journal Name**", press enter or click the "**Execute Query**" icon. For example, if you want to find all the Journal Codes with the word "phytopathology" in the title, enter %phytopathology% in the Journal Name section of the query screen (fig. 15c).

Figure 15c – Query for "Phytopathology"

This will generate a list of all the Journal Codes with the word "phytopathology" somewhere in the title (fig. 15d). To sort the list in ascending numerical order, click the "**Journal**" header. Click again to sort in descending order. Click the double right arrows on the tool bar to scroll to the last record found. Notice the number of records found (Record Count) will be displayed at the bottom left corner of the screen.
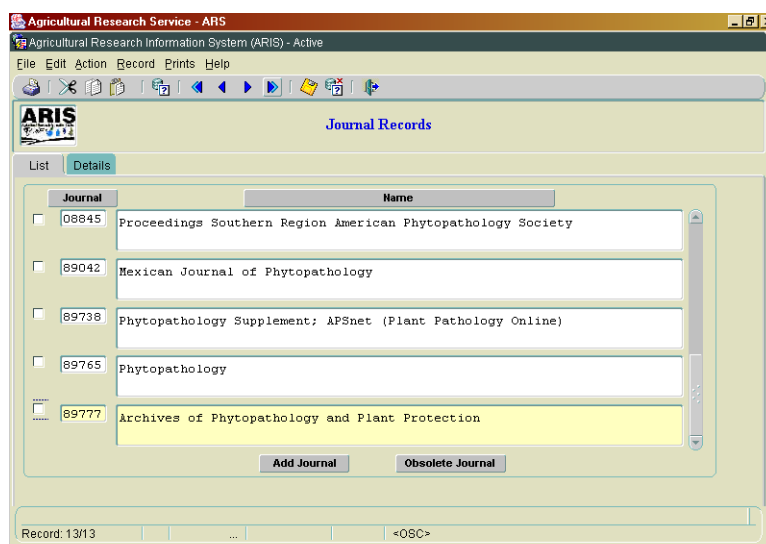
Figure 15d - Query Results for "Phytopathology"

It is helpful to view the "**Details**" tab on the Journal Records screen to verify you have selected the correct Journal Code. The search for Journal Codes with "phytopathology" in the title has listed two possible journals to select, 02068, Phytopathology and 04687, Journal of Phytopathology (fig. 15e).
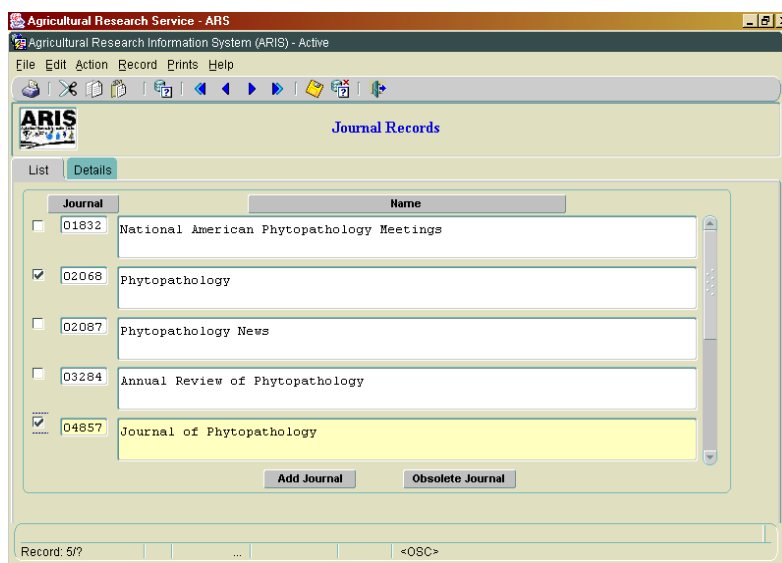
Figure 15e - Journals Found for Phytopathology

Select the appropriate journal code by checking the box to the left of the code or by clicking in the Journal box or Name box on the Journal Records List Screen. Click the "**Details**" tab to view additional information about the selected journal code (fig. 15f).

Figure 15f - Details Tab Information

When you are unable to find the Journal Code that you need, contact your Area 115 Contact to have a new Journal Code established. The Area 115 Contact will verify that a new Journal Code is required and will send a request to Headquarters to establish the new Journal Code.

Requesting a New Journal Code

The following information should be provided when a journal code is requested:
- Name of the Publication, e.g., name of the journal, book, trade journal
- Type of Publication, e.g., peer-reviewed journal, trade journal, proceedings
- Publisher, if known
- URL of the journal or publisher, if known
- Does the journal have a Confidentiality clause (see following paragraph)

(**NOTE:** See Use of Generic Codes section regarding establishment of new codes for meetings).

Confidentiality Clause Status

This information is added to the "Details" tab of the Journal Code to serve as additional criteria to select the appropriate Journal Code. The confidentiality clause status (Yes or No) is specific to each journal. This clause states that the publication must be kept confidential until the journal has published it. To determine if a journal has a confidentiality clause, call the journal directly, search the journal's website, and/or ask the scientist to obtain this information.

Use of Generic Journal Codes

Journal codes for recurring meetings, workshops, congresses, symposiums, etc., will be entered without year dates or meeting number designations. For example, "5th International Meeting of Insect Physiologists" will be entered as "International Meeting of Insect Physiologists" and "2004 Proceedings of the Methyl Bromide Emissions Reduction Workshop" will be entered as "Proceedings of the Methyl Bromide Emissions Reduction Workshop". When the citation is generated, the citation should be modified and the year or number of the meeting added, if applicable.

NOTE: New codes will NOT be established for meetings that are not recurring. The generic "meeting abstract" code (04466) should be used. When and if a citation is generated, the meeting and/or publication name can then be modified directly in the citation field.

If, at the time of submitting an ARS-115, the name of the publication has not been determined or is not known, use the appropriate generic Journal Code as listed in the Currently Available Generic Journal table below. Generic journal codes should only be used when the publication is not first formal report of original research. Describe the publication in the remarks section of the ARS-115.

> Remarks: "Abstract only to be presented at the USDA, ARS Workshop on Fusarium
> Head Blight of Wheat, July 4-7, 2011 in St. Louis, MO."

When a publication results and the name of the publication is known, request the specific journal code (see Requesting a New Journal Code, page 23 of this chapter). When the acceptance date is added to the ARS-115, modify the generic code to the newly established specific code.

The generic Journal Codes are "Confidentiality - No" by default. If the scientist, organization, or publisher requires confidentiality until published and a generic code is used, check ☑ the "Hold from Tektran until Published" box. When you add the publication date and citation, remove the check ☑ .

List of Generic Journal Codes

Journal Name	Journal Code
Agricultural Experiment Station Publication	08969
Agricultural Research Service Station Bulletin	03291
Agriculture Handbook	03233
ARS Publication	00050
Book Chapter	03708
CD ROM	04317
Complete Book	04321
Electronic Publication	06844
Experiment Station Bulletins	00856
Extension Circular	00865
Extension Fact Sheets	00867
Extension Publications	00868
Extension Reports	00869
Extension Service Bulletin	00870
Germplasm Release	05659
Government Publication/Report	90148
Home Page	04862
Invention Report	05684
Laboratory Publication	01630
Meeting Abstract	04466
Meeting Proceedings	89158
PhD Dissertation	05272
Popular Publication	90145
Review Article	90146
Science and Technical Review	02299
Software and User Manual Public Release	89180
Survey Notes	04795
Symposium Proceedings	02978
Trade Journal Publication	90147
Workshop Proceedings	88918
World Wide Web	04864

ARS-115 Template

When entering an ARS-115, it is beneficial to have all the information at your fingertips before beginning the data entry process. To ensure you have all the information, print an ARS-115 Template form that you can give to the scientist to fill out or that you can use as a reference to facilitate data entry from (http://www.arsnet.usda.gov/ARIS/Manual/Chapter16B-Manuscript-Template.doc), or from the Research Documentation screen, click "**Reports"**, "**Blank Forms"**, and "**115 Template**." The template will open directly in Word.

Blank ARS-115 Form

To print the blank ARS-115 form, from the Research Documentation screen, click "**Reports**", "**Blank Forms**", and "**115**". Adobe Acrobat will launch and display the Blank ARS-115. To print the form, click the printer icon.

115 History

The ARS-115 History file is used to retain 115s that are 5 years past the original approval date. Therefore, once the 115 reaches that 5-year point, the 115 is moved from the Active file to the History file. The History file is searchable and 115s can be printed from there. However, work records cannot be created and cannot be modified. *(Note: If modifications are necessary to 115s in History, contact the Area 115 contact to work with Headquarters to modify as necessary).*

General Information

Acronyms, Publication Types and Definitions

Term/Acronym	Definition
Abstract	Brief technical description of an oral or poster presentation printed in a meeting announcement, proceedings, or program and not accompanied by a full-length manuscript.
AD-421	Annual Report.
ARS-115	Request to Submit Manuscript for Publication.
Book Chapter	A manuscript submitted to a publisher for inclusion in a book as a chapter.
Dual Use Research (DUR)	Research that has both beneficial value and the potential for posing a biological threat to public health or national security by countries and entities of concern. (Office of Science Policy-NIH Definition: Research that, based on current understanding, can be reasonably anticipated to provide knowledge, products, or technologies that could be directly misapplied by others to pose a threat to public health, agriculture, plants, animals, the environment, or material).
Experiment Station	A manuscript submitted to a state experiment station, e.g., bulletin, newsletter, note, data sheet, special report.

Term/Acronym	Definition
Germplasm Registration Article	An article providing a thoroughly documented description of new plant material that has been made available for research and breeding purposes. Plant materials include plant cultivars, parental lines, germplasm, genetic stocks, or mapping populations. These plant materials must have been released for use and samples deposited into the USDA-ARS National Center for Genetic Resources Preservation (NCGRP) collection for long-term preservation and to facilitate distribution of the material. *NOTE: Docket # from Plant Materials Docket system required when entering the ARS-115.*
Government Publication	A manuscript to be published in a government publication such as an Agency or multi-Agency report, state government report, library report, etc.
Interpretive Summary	Brief explanation of the reason for the research and the accomplishments and significance of the research in language intelligible to the general public.
Literature Review	A manuscript that does not present research by the authors, but reviews the current literature on a specific subject.
Manuscript	A scientific paper authored or co-authored by ARS scientific personnel that describes or reviews scientific research and is intended for publication: in a scientific journal; in a semi-technical or trade journal; as a scientific literature review or book chapter; as a popular article; in a meeting or symposium proceeds or workshop report.
Monograph	A manuscript submitted to a publisher as a scholarly book on a single, usually limited subject.
Original Scientific Paper	A manuscript, other than an abstract, that is the first formal report of research results.
Other (publication type)	A publication that does not fit into the other categories.
Peer Reviewed Journal	A manuscript submitted to a journal in which the manuscripts are sent by editors to multiple scientific experts in the field of research to determine acceptance for publication.
Popular Publications	Manuscripts that are not peer-reviewed, are informational in nature, and written for the lay person.
Proceedings/Symposium	Manuscripts submitted for publication by the organizers of scientific meetings or symposia in a typically non-peer-reviewed format.

Term/Acronym	Definition
Prominent Issues	There are five designations on the ARS-115 for Prominent Issues: 1) Potential to Attract Media Attention; 2) Represents a Significant Scientific Advancement; 3) Significantly Affect Existing or Future USDA Policy; 4) Potential Trade Implications; or 5) Other. *NOTE: Any 115s that were designated as "high profile" prior to implementation of Prominent Issues will be marked as "Other".* The prominent issues designation ensures that all management is aware of any upcoming publications/presentations that have potential to draw attention and/or have other potential implications. These require Area approval and ONP approval of the prominent issue designation.
Research Notes	Short descriptions of current research findings, and/or observational information on new techniques or incidental discoveries that generally precedes a research article.
Research Technical Update	Only used with Journal Code #91858-Natural Resources Research Update – which transfers the latest ARS research results in Natural Resources. Note: it is a compilation of research updates, not reporting of original research.
Review Article	A manuscript that reviews the current literature for research on a particular subject.
Senior Author	The author who leads the study/research, has primary responsibility for conduct of the research, has authority to make the final decisions on design analysis and interpretation of results, even if aided by others, and makes a major contribution to the work. Generally directs, oversees, and guarantees authenticity of work reported and takes responsibility for accuracy, validity, analysis and conclusions. The Senior author should be determined at the outset of the project by all authors involved. Not all ARS-115s may have an ARS SY as Senior Author, as the Senior Author may be an author from outside the Agency.
Technical Abstract	Brief technical description that accompanies a full-length manuscript.
TEKTRAN	Technology Transfer Automated Retrieval System.
Trade Journal	A non-peer-reviewed manuscript submitted to a trade journal.

Timely Submission of ARS-115:

The submission of the ARS-115 **MUST** be fully approved before any manuscript is submitted to a journal and/or published. In addition, scientists giving presentations must receive ARS approval through the ARS-115 process before giving the presentation at the meeting.

Duplicate ARS-115s:

If there are duplicate ARS-115s in ARIS, please notify your Area Program Analyst of the Log Numbers of the ARS-115s to keep and the ARS-115s to delete. Your Area Program Analyst will verify that the ARS-115 is a duplicate and send a request to the Headquarters staff to have the duplicate ARS-115s deleted. Duplicate ARS-115s are the only ARS-115s that are deleted from ARIS. Only Headquarters staff has access to delete ARS-115s. Headquarters staff will inform the Area Program Analyst when the ARS-115 has been deleted. If the ARS-115 is linked on an Annual Report (AD-421), it cannot be deleted.

Rejection of a Publication:

When a publication is rejected by a journal, the ARS-115 <u>will remain</u> in the Active File and <u>is not</u> deleted from ARIS. If the same manuscript is submitted to another journal for publication, the ARS-115 should be modified to show the new journal code and journal name. Change "**Previously Submitted**" to "**Yes**", and modify any other appropriate information. **Note in the Remarks** that the manuscript was previously submitted to another journal. Provide the name of the original journal and the new journal. If the publication is not going to be resubmitted, mark the box "never to be published" and no other action is necessary.

Link to Annual Reports (AD-421)

Each publication listed on an Annual Report (AD-421) is required to have a completed ARS-115 (including citation) approved in ARIS. The citation information from the ARS-115 propagates into the Annual Report (AD-421) when the log number is referenced on the Annual Report. Therefore, it is important to enter ARS-115s in ARIS in a timely manner. This will reduce the data entry burden at Annual Report time.

Patentable Information:

If the information published or presented has patent potential, the ARS-115 block "Due to patent potential, is retention of intellectual property rights desired?" should be answered "Yes". If answered "Yes", the ARS-115 will move to the Active File in ARIS upon completion of the approval process through OTT. The ARS-115 will be held in the Active File during the review process by the Patent Advisor and indicated as "Hold from TEKTRAN for OTT Review. While in the Active File, the publication may be viewed by anyone in ARS who has access to ARIS. The publication will not be moved to TEKTRAN until after a patent has been filed or a determination is made that no patent will be filed and, at that time, may be viewed by anyone who has access to TEKTRAN. Once OTT determines there are no issues, they will remove the check and the record will then be viewable barring any other holds.

Criteria for Moving ARS-115s to TEKTRAN

The ARS-115/TEKTRAN system records are moved to history when the ARS-115 Approval Date exceeds 5 years.

ARS-115s will **NEVER** Go to TEKTRAN when the "**Hold from TEKTRAN Permanently**" box is checked.

ARS-115s will go to TEKTRAN after the following conditions are met:

1.   When the Publication Type is a Patent and the Application Date plus 18 months is less than the current date.
2.   When the "**Hold from TEKTRAN until Published**" box is checked, the Publication Type is not a Patent, and the Publication Date is less than the current date.
3.   When the Confidential Clause on the chosen Journal Code is marked "**Yes**", the Publication Type is not a Patent, and the Publication Date is less than the current date.
4.   When the Publication Type is not a Patent, the conditions in No. 2 and No. 3 are met, if applicable, and the Journal Acceptance Date is less than the current date.

Authorship Involving Other Areas or Research Units:

If a publication has cooperative research and ARS authors in more than one Management Unit and/or Area, the ARS-115 should **ONLY** be entered in ARIS by the first ARS author (highest authorship) listed and will be associated with the inhouse project and Mode Code for that SY. Each ARS author listed **SHOULD NOT** enter a separate ARS-115.

Matrix for Data Entry Determinations:

An ARS-115 is **NOT** required for oral or poster presentations given within **ARS/USDA**.

If presenting ARS research to outside ARS, an ARS-115 is required for a presentation, even if not published (in print).

If an abstract is in a meeting book or proceedings, an ARS-115 is required.

Manuscripts that are "**first formal report**" of original scientific research require an interpretive summary be included in the ARS-115 (see P&P 152.1). An interpretive summary is not required for literature reviews, book chapters (unless first formal report of original research), or book reviews.

Use the Matrix below to determine how to answer the "**First Formal Report other than Abstract**" question on the ARS-115 and if an interpretive summary is required for the specific publication type.

Publication Type	First Formal Report*	Interpretive Summary	Technical Abstract
Peer Reviewed Journal	Yes	Yes	Yes
Abstract	No	No	Yes
Proceedings/Symposium	No*	No	Yes
Review Article	No	No	Yes
Other	No*	No	Yes
Research Notes	No*	No	Yes
Trade Journal	No	No	Yes
Germplasm Registration Article	No*	No	Yes
Book/Book Chapter	No*	No	Yes
Literature Review	No	No	Yes
Government Publication	No*	No	Yes
Monograph	No*	No	Yes
Experiment Station	No*	No	Yes
Popular Publication	No	No	Yes
Patent Application	No	No	Yes

* If the publication is a "First Formal Report other than Abstract", select "Yes" and an Interpretive Summary is required.

Scientific Notation:

Scientific notation does not properly convert from word processing programs to ARIS. Therefore, scientific notations should not be used.

Spell Check:

Spellcheck is not available in ARIS. However, the Technical Abstract and Interpretive Summary can be copied and pasted (**Ctrl C** and **Ctrl V**) from other software with spell check capability.

115 Retention:

ARS-115s should be filed and kept for at least 3 years after the publication date. After that point, it is advisable to keep a reprint folder with the Log #s designated on the reprint for historical purposes and for ease in retrieval.

References

P&P 152.1-ARS (October 2010): Procedures for Publishing Manuscripts and Abstracts with Non-USDA Publishers (Outside Publishing).
http://www.afm.ars.usda.gov/ppweb/PDF/152-1-ARS.pdf

P&P 152.2-ARS (May 12, 1997): Authorship of Research and Technical Reports and Publications
http://www.afm.ars.usda.gov/ppweb/PDF/152-02ars.pdf

"Control on Dual Use Research" - Dual-Use Guidance memo from C. Rexroad, AA, National Programs (date January 30, 2006)

Appendix 1

Publication Citation Format and Examples

The citation information should be inclusive enough to allow the article to be found or requested through a library.

The citation is generated in proper format through the ARS-115 system by using the Generate Citation button. However, the citation should be reviewed and verified for accuracy of capitalization, punctuation, and any information that may need to be added.

Author Names - Author names are populated to the citation field by the authors listed in the Author field. Once in the citation, verify accuracy of capitalization, especially for names with double caps (e.g, McCoy) and for names with a suffix (e.g., III, Sr.).
Spacing – there should be only one space between elements in the citation.
Capitalization – the title is populated into the citation as typed in the Title field; however, verification is needed for accuracy of capitalization of proper names and author names.
Abbreviations – Abbreviations should not be used anywhere in the citation, unless the journal uses them in titles (e.g. the FASEB Journal).
Pagination – Use p. to indicate pages; use complete page numbers (e.g., 255-266, not 255-66).
Abstract – Insert the word "abstract" in brackets as the last word in the article title if the citation for an abstract only.

Journal Article with Standard Citation:

Format:
Author last name(s) and initial(s). Year of publication. Article title. Full journal title. Volume(issue):page numbers.

Examples:
Anderson, R.J. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649.

Anderson, R.J., Thompson, J.L. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649.

Journal Article with DOI in Citation:

Format:
Author last name(s) and initial(s). Year of publication. Article title. Full journal title. DOI.

Examples:
Anderson, R.J. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. DOI: 10.2594/CS.2004-3597.

Anderson, R.J., Thompson, J.L. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649. DOI: 10.2594/CS.2004-3597.

Abstract:

Format:
Author last name(s) and initial(s). Year of publication. Title of abstract [abstract]. Full title of journal/proceedings. Volume(issue):page number(s).

Examples:
Steinheimer, T.R. 2004. Chemical fate of herbicides within a small agricultural watershed [abstract]. American Chemical Society. p. 102.

Hester, P.Y., Muir, W.M., Craig, J.V., Albright, J.L. 1995. Group selection for adaptation to multiple-hen cages: Response to social and heat stress [abstract]. Poultry Science. 74(1):102

Example with Paper/Abstract No.:
Paarlberg, K.R., Hanna, H.M, Erbach, D.C., Hartzler, R.G. 1995. Cultivator design for interrow weed control on no-till corn [abstract]. American Society for Agricultural Engineers. Paper No. 95-1331.

Steinheimer, T.R. 2004. Chemical fate of herbicides within a small agricultural watershed [abstract]. American Chemical Society. Paper No. 102.

Proceedings:

Format:
Author last name(s) and initial(s). Year of publication. Title of paper. Title of Proceedings. Volume:Page number(s).

Examples:
Kanwar, R.S., Colvin, T.S., Karlen, D.L. 1995. Tillage and crop rotation effects on drainage water quality. Proceedings of Clean Water-Clean Environment 21st Century. III:163-166.

Miller, J.G. Janyes, D.B., Moorman, T.B. 1995. Prediction of atrazine persistence in a central Iowa field. Proceedings of water Quality Modeling International Symposium. p. 109-118.

Format for Proceedings w/Conference Information:

Author last name(s) and initial(s). Year of publication. Title of paper. In: (editors, if any). Title of Proceedings. Title of Conference (if different from title of Proceedings), Date of Conference, Conference Location. Page number(s).

Examples w/ Conference Information Included:
Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers National Convention, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

Smith, J.L. 2004. Current issues in crop production. In: Irvin, R.L., Smith, J.C., editors. Proceedings of the Society of Plant Growers National Convention, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

Example w/different conference title than proceedings:

Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers. 4th International Conference of Plant Growers, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

Format for Proceedings only available on CD:
Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers. 4th International Conference of Plant Growers, February 5-7, 2004, Beltsville, Maryland. 2004 CDROM.

Dissertations/Thesis:

Format:
Author last name and initials. Date of Degree. Title of Dissertation or thesis [Ph.D. Dissertation]. Place of Degree-Granting Institution: Degree-Granting Institution. Number of pages.

Examples:
Dorsey, J.D. 1995. Farming system effects on soil properties [Ph.D. Dissertation]. Columbus, OH: Ohio State University. 340 p.

Milach, S.C.K. 1995. Genetic characterization and molecular mapping of dwarfing genes in oat [Ph.D. Thesis]. Minneapolis, MN: University of Minnesota. 94 p.

Patent:

Format:
Author last name(s) and initial(s). Date of patent. Title of patent. Patent Number.

Example:
Eller, F.J., Bartelt, R.J. 1995. Compositions for the control of pepper weevils. U.S. Patent 5,393,522.

Book Chapter:

Format:
Author last name(s) and initial(s). Year of publication. Title of chapter or part. In: Last name and Initial(s) of Editor(s) of book. Title of book. Edition information (if any). Place of publication: Publisher. Inclusive page numbers.

Example:
Ogren, W.L. 1994. Energy utilization by photorespiration. In: Tolbert, N.E., Preiss, J., editors. Regulation of Atmospheric CO2 and O2 by Photosynthetic Carbon Metabolism. 3rd edition. New York, NY: University Press. p. 115-125.

Book:

Format:
Author last name(s) and initial(s). Year of publication. Title of Book. Place of Publication: Publisher. Number of pages.

Example:
Bates, B. 1999. Bargaining for Life: A social history of tuberculosis. Philadelphia: University of Pennsylvania Press. 435 p.

Electronic Journal Articles:

Format:
Author last name(s) and initial(s). Year of publication. Title of article. Full journal title [medium].
Volume(issue): page numbers [if available]. Availability information.

Example:
Loker, W.M. 1996. The crisis of modernization in Latin America. Journal of Political Ecology [serial online]. 3(1). Available: http://www.library.arizona.edu/ej/jpe/volume_3/ascii-lokeriso.txt.

Yerk-Davis, G.L., Grant, D., McMullen, M.D., Cole, E.H., Houchins, K., Melia-Handcock, S. 1995. The UMC Maize RFLP Map Sequence. Plant Genome IV Abstracts. Available: http://probe.nalusda.gov:8000/plant/index.html.

Smith, J.C., Shafer, R.L. 2004. The effect of inoculation methods on bulb firmness. Electronic Journal of Biotechnology. 4(3). Available: http://ejb.ucv.cl/content/vol3/issue3/full/4/index.html.

Fredrickson, B.L. 2000. Cultivating positive emotions to optimize health and well-being. Prevention & Treatment, 3:Article 0001a. Available: http://journals.apa.org/prevention/volume3/pre0030001a.html

Computer Programs/CD-ROM:

Format:
Author last name(s) and initial(s). Year of publication. Name/Title of CD-ROM/Computer Program [medium]. Version. Publication location: Publisher.

Example:
Gallo, A.E. 1996. The food marketing system in 1996 [CD-ROM]. Version 1.1. Washington, D.C.: U.S. Department of Agriculture, ERS.

Smith, J.C. 2004. PRO-CITE: Personal Bibliographic Software [computer program]. Version 1.4. Beltsville, MD: Scientific America.

Appendix 2 - ARS-115 Template

Related ARS Project (# or name): _____ - _____ - _____ - _____

Manuscript Title:

Manuscript Peer Reviewed: ☐ Y   ☐ N   (If Yes: Please give the Unit ARIS user the ARS-533 Peer Review forms and a copy of the manuscript)

1st Formal Report other than Abstract? ☐ Y   ☐ N   (Select No if this is an Abstract entry)

Does this manuscript report CRADA research? ☐ Y   ☐ N   **Has the Cooperator Reviewed and Approved this Publication?** ☐ Y   ☐ N

 If Yes, CRADA No.: 58 - 3K95 -   -   (Example: 58-3K95-5-1234 or 58-3K95-5-6789M) *If marked Yes will go to OTT for review*

Submitter: _____ _____ _____
            (Last name)   (First name)   (MI)
 	
Phone: _____ Email: _____
 	
Contact: _____ _____ _____
            (Last name)   (First name)   (MI)
Phone: _____   Fax: _____
 	
E-mail: _____
	Submitter:
	• Must be the RL or an Active Cat. 1, 4, 6 scientist
	• Submitter does not need to be an author on the publication being entered.
	• Submitter & Contact can be the same person (Unit choice).
	Contact:
	• Must be a Permanent Federal employee of the Unit.
	• If a post doc is submitting the 115: Use the RL or a Cat. 1, 4, or 6 scientist as the Contact.
	• Post docs can be listed as authors but not as the Submitter or Contact (ARIS system control, no alternative).

Comments/Additional Info: REQUIRED (if being presented at a meeting) meeting name, location, dates; Non-ARS Author clearance issues; explain a rejection & resubmission, etc.

Prominent Issues:

☐ **Potential to Attract Media Interest/Attention**
☐ **Represents a Significant Scientific Advancement**
☐ **Significantly Affect Existing or Future USDA Policy**
☐ **Potential Trade Implications**
☐ **Other (specify)** _____

Authors: List all authors, authorship position, and their affiliation (ARS employee, University, Company or Organization, ARS-Retired/Collaborator, etc.) Only one senior author designation per manuscript; not required.
Non-ARS Author Clearances: Allows ARS to post the Non-ARS author's name/affiliation to ARS websites. It is **not** a request for approval/permission for ARS to publish.

Name (Last, First, MI)	Employer/Affiliation	Clearance? (Y/N)	Senior Author (Y/N)
1			
2			
3			
4			
5			
6			

Name of Meeting or Journal:

_____

Include dates, location for a meeting/presentation: *Example:* Agronomy Meetings, San Diego, CA. Nov. 1-5, 2011

Publication Type:	☐ **E** = Experiment Station	☐ **R** = Review Article	☐ **C** = Pct (Patent Cooperation Treaty) (Check with TTC or Patent Advisor before entering)
☐ **A** = Abstract	☐ **L** = Literature Review	☐ **T** = Trade Journal	☐ **Z** = Patent Application (Serial #: _____) (Check with TTC or Patent Advisor for assistance)
☐ **B** = Book/Chapter	☐ **M** = Monograph	☐ **X** = Other	
☐ **J** = Peer Rev. Journal	☐ **N** = Research Notes	☐ **V** = Government Publication	☐ **H** = Germplasm Registration Article
☐ **P** = Proceedings/ Symposium	☐ **O** = Popular Publication	☐ **U** = Research Technical Update (Use for Natural Resources Res. Update Only)	Plant Material Docket Number: _____ *Note:* Plant Material Docket (PMD) entry must be entered first and approved/coded as Active in ARIS; must select the PMD # to enter 115 Germplasm Registration Article

Previously Submitted (applies to resubmission): ☐ Y ☐ N (*Select Yes if it was submitted to another journal/equivalent earlier*).
NOTE: ARIS User: the original 115 entry should be revised/updated if this is a resubmission due to rejection or other issues.
* Use the Remarks and state which journal it was originally submitted to, the date, reason for resubmission (*i.e.,* rejected, inappropriate journal, etc.)

Hold from Tektran until: ☐   **Published** ___   ☐   **Permanently** ___

Due to patent potential, is retention of intellectual property rights desired? ☐ Y   ☐ N   (Contact Tech. Transfer Coordinator for help/info)
Patent Information: If Yes, please submit a Patent/Invention Disclosure form through the ARIS Licenses/Invention system.; If Yes, will go to OTT for review.

Technical Abstract and Interpretive Summary: Provide electronically in Word.

Provide the dates shown below as soon as they become available. The dates are required entries in order to allow the 115 to migrate to Tektran and the ARS website. The 115 cannot be used in the Annual/Final ARS-421 Progress Report unless Dates are entered & the 115 Citation is complete.

REQUIRED **Date Submitted to Journal:** _____   (Date the manuscript or abstract is sent to the journal or other outlet).

REQUIRED **Acceptance Date:** _____   (Date journal/other outlet accepts it for publication or the committee accepts it for a meeting, etc.) (Required to be listed on the web).

REQUIRED **Publication Date:** _____   **REQUIRED** **Volume, Page numbers, etc.:** _____
Both publication date and volume/page number required to generate citation

Repository URL Field: _____ (Do not enter the http:// in front, it defaults in). (To be used for the URL for Reprints to be held in the NAL Digital Repository only; No other URLs should be entered here.

Appendix 3 – Instructions for Turning off Autoformatting

To turn off the AutoFormat feature in Word, click the **Office Button** -> **Word Options** -> **Proofing**. This will display the AutoCorrect options Dialogue box (fig. 1). Select the "**AutoCorrect Options**" label in the AutoCorrect Dialogue box (fig. 2).
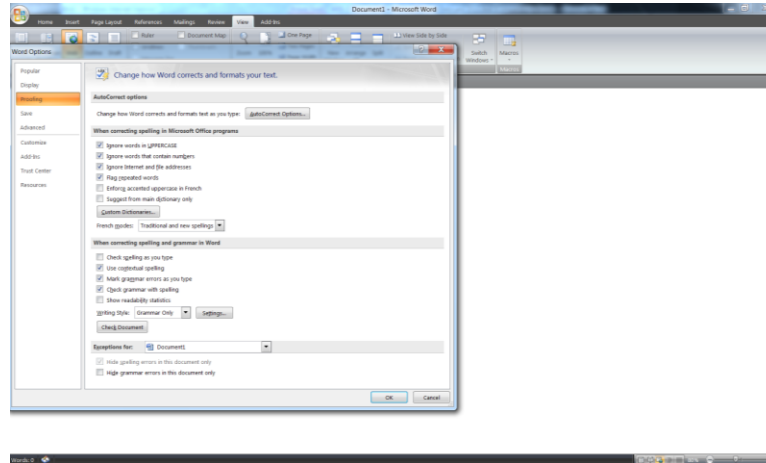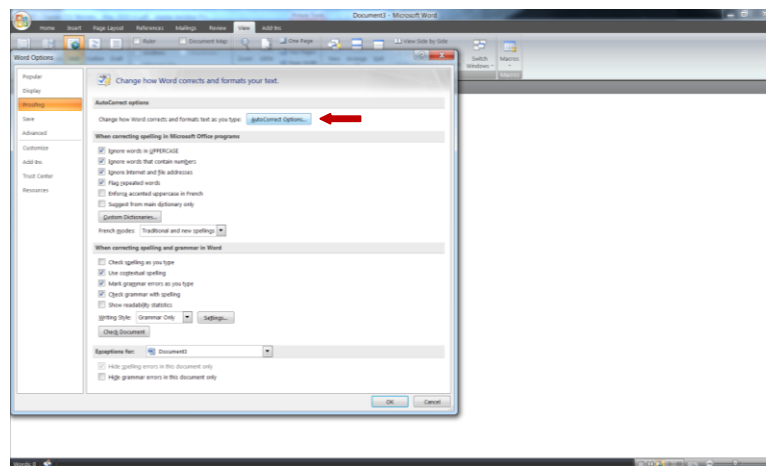

Figure 1 – Word Options-Proofing

Figure 2 – AutoCorrect Options

Select the AutoFormat tab and clear the checks in "**List styles**", "**Automatic bulleted lists**", and **"Straight quotes" with "smart quotes"** by clicking each box (fig. 3 & 4).
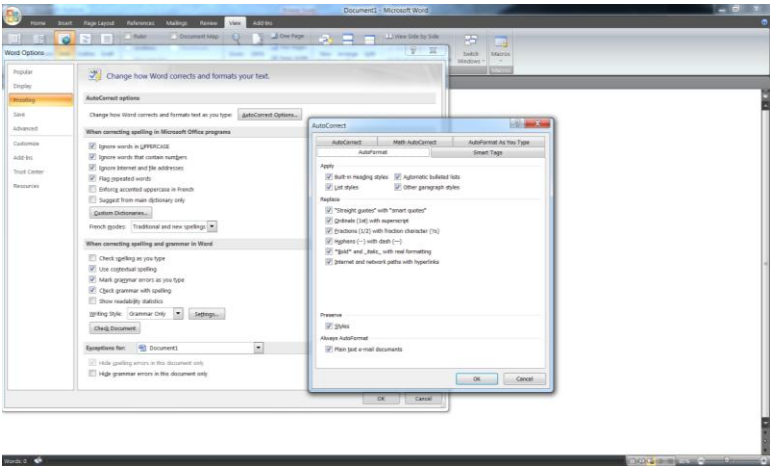
Figure 3 – AutoFormat

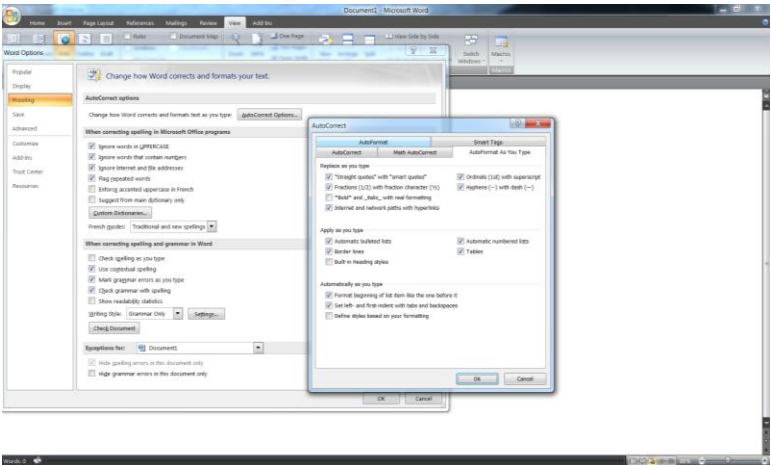**Figure 4 – AutoFormat As You Type**

Appendix 4
(for Area Office & HQ Use Only)

OMB Peer Review Requirements for Peer Review of Influential/Highly Influential Research (for USDA Publications only)

The information is provided to specifically meet the requirements of the Office of Management and Budget's *Final Information Quality Bulletin for Peer Review*, which was published in the Federal Register on January 14, 2005 (FR 70:2665-2677),
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/011405_peer.pdf

Two major categories of scientific information are disseminated by the Agricultural Research Service: official USDA reports and non-USDA reports. A research product (i.e., manuscript) submitted for publication to peer-reviewed journals is considered a non-USDA report of scientific information. However to ensure the utmost rigor and transparency, official USDA reports of influential and highly influential research are reviewed by scientific experts within and outside of the federal government before dissemination to the public.

ARS Peer Review Agenda and Plans Related to Influential/Highly Influential Scientific Information:
Research conducted by ARS that could potentially fall under influential and highly influential designations (excludes non-USDA reports) include research that supports policy and regulations; research with public health implications; and research that might impact trade (also see pg. 49). Peer review plans are scheduled to accommodate output from 22 ARS national research programs conducted throughout the United States.

Language and Definitions:
- The term "scientific information" means factual inputs, data, models, analyses, technical information, or scientific assessments based on the behavioral and social sciences, public health and medical sciences, life and earth sciences, engineering, or physical sciences. This includes any communication or representation of knowledge such as facts or data, in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual forms. This definition includes information that an agency disseminates from a web page, does not include the provision of hyperlinks to information that others disseminate. This definition does not include opinions, where the agency's presentation makes clear that what is being offered is someone's opinion rather than fact or the agency's views;

- The term "influential scientific information" means scientific information the agency reasonably can determine will have or does have a clear and substantial impact on important public policies or private sector decisions (see list); and

- The term "scientific assessment" means an evaluation of a body of scientific or technical knowledge, which typically synthesizes multiple factual inputs, data, models, assumptions, and/or applies best professional judgment to bridge uncertainties in the available information. These assessments include, but are not limited to, state-of-science reports; technology assessments; weight-of-evidence analyses; meta-analyses; health, safety, or ecological risk assessments; toxicological characterizations of substances; integrated assessment models; hazard determinations; or exposure assessments.

Any decision models, data, or publications created and delivered outside of journals to customers or partners (e.g., data run for APHIS, which is never published, but instead delivered directly to them; products produced and delivered outside the journal system) would fall in the category for OMB Peer Review.

Additional information can be found at: http://www.whitehouse.gov/omb/memoranda_fy2005_m05-03/

Use of ARS-115 System:

The ARS-115 System will be used to capture the OMB Peer Review information. The information entered in the system will be retrieved semi-annually by Headquarters to report to OMB and to post on the ARS – Peer Review Agendas Website http://www.ars.usda.gov/docs.htm?docid=16928&dropcache=true&mode=preview&modecode=02-00-00-00 and http://www.ars.usda.gov/docs.htm?docid=19203&dropcache=true&mode=preview, which alleviates the need for data calls to the Areas and locations.

A template for the Peer Review Plan can be downloaded from the ARIS ARS-115 Subsystem or from pgs. 50-51, of this chapter.

Entering ARS -115 for an OMB Peer Review Publication

Complete the Project Information Screen and Comments screen following Figures 1-5 and associated instructions (pgs. 3-7).

Once Comments are completed, select the "**OMB Review**" tab to move to the OMB Review screen (fig. 1a).
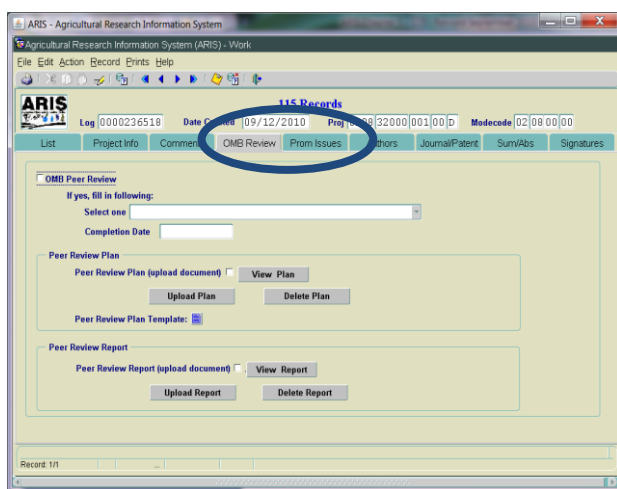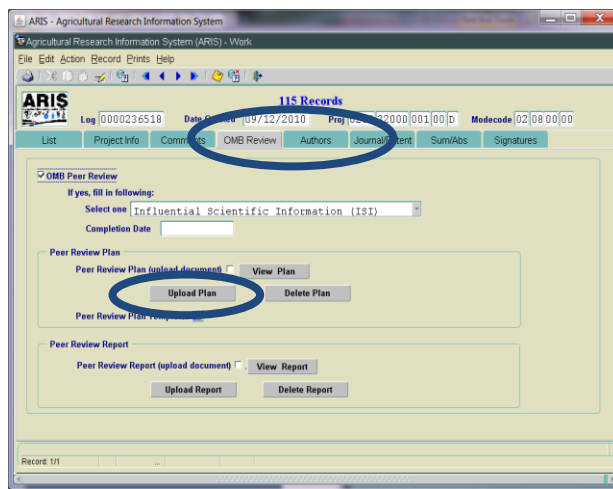

Figure 1a – OMB Review Screen   **Figure 1b – OMB Review checked**

Check (√) the box next to "OMB Peer Review" and select "Influential Scientific Information" or "Highly Influential Scientific Assessment" from the LOV (see definitions above).

Note: Once the box is checked, the Prominent Issues Tab will disappear, as this tab is not filled in for the ARS-115s associated with OMB Peer Review (fig. 1b).

Next, click the "**Upload Plan**" button to upload the Peer Review Plan and the "Add Document" screen will be displayed (fig. 1c).
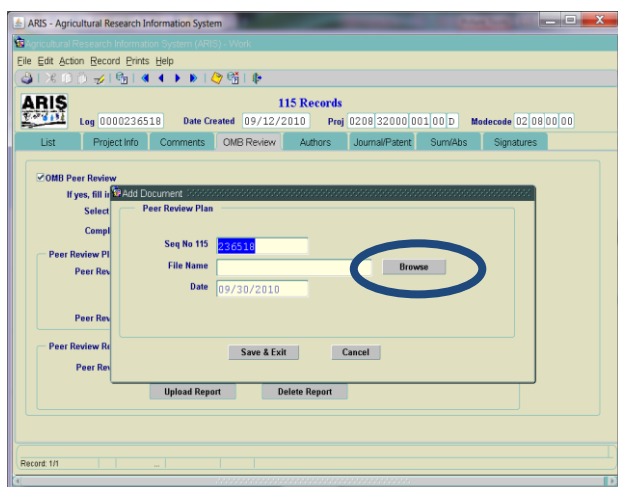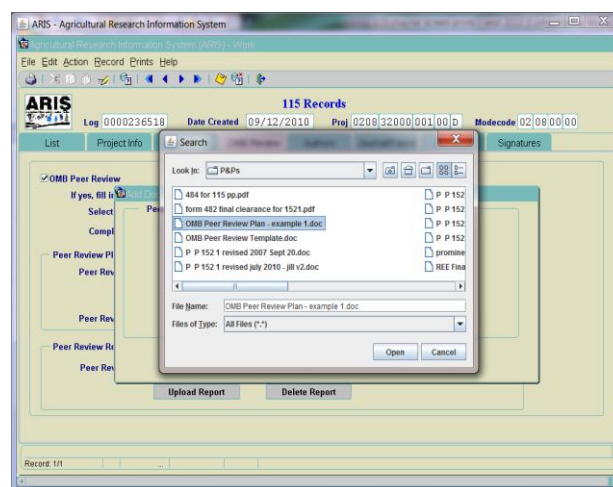

Figure 1c – Add Document Screen

Figure 1d – Document Search

Click the "Browse" button to locate the directory and file to be uploaded. Once found, highlight it and click "Open".   A message will be displayed "File uploaded successfully into the database" and the file will then be inserted into the "Add Document" screen (fig. 1e).   Click "Save and Exit" to return to the OMB Review screen.

On the OMB Review screen, the box will now be checked that there is a Peer Review Plan. You can view the document and/or delete if uploaded in error.
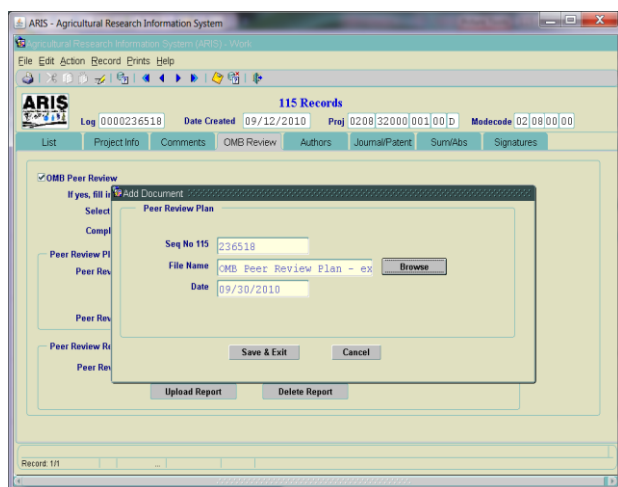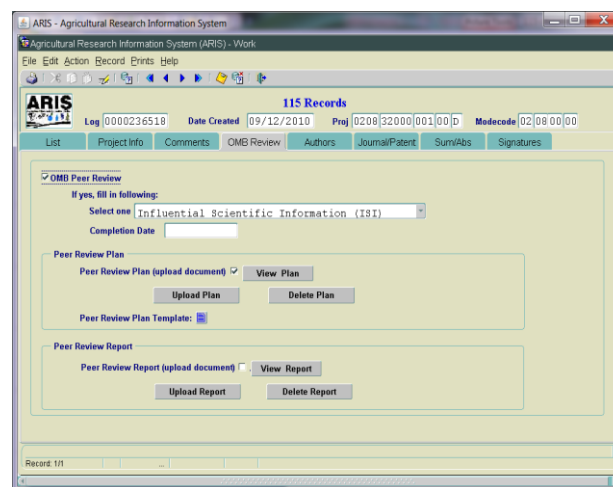
Figure 1e – Upload Completed

Figure 1f – OMB Review Screen Completed

Enter an estimated completion date of the Peer Review. The completion date should be updated and Peer Review Report should be added once the Peer Review is completed.

Next, follow steps for adding authors on pgs. 9-10, figures 7a-7f.

For the Journal/Patent tab information, follow steps on pgs. 12-14.

Note: If OMB Peer Review is checked, the Journal or Equivalent will automatically fill in as "Government Publication/Report (90148)" and the Publication Type will automatically fill in as "Government Publication" (fig. 2). Fill in remaining fields as applicable.
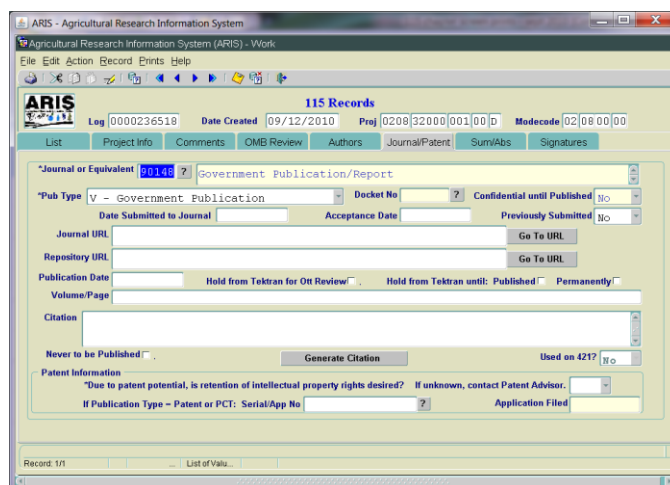

Figure 2 – Journal/Patent Screen

Next, select the "Sum/Abs" tab to enter the Technical Abstract. Follow steps on pg. 15. No Interpretive Summary is required.

The ARS-115 entry for OMB Peer Review publication is now complete and will be displayed on your List screen.

For approval, follow procedures on pg. 15.   The ARS-115 will go directly from Area Level to Approved status.

Influential/Highly Influential Information

1. Research that supports federal action and regulatory agencies (e.g., APHIS, DHS, EPA, FDA, etc.)
   a. initial deregulation of new biotech crops
   b. review of the effectiveness of field protocols required to maintain the benefits of the technology
   c. development of new regulations
   d. risk assessment by regulatory agencies
2. Research on zoonotic diseases (public health implications), foreign animal disease threats (impact on trade), and diseases where federal and state have active disease control programs (e.g., Scrapie).
3. Research related to PMP (pathogen modeling program), a series of predictive models used to examine how pathogens might grow in foods when you know the food components. Highly influential and used by governments, industry and researchers all over the world.
4. Research related to Combase, an international resource database of pathogen behavior in food. It is the premier database of its type in the world and considered highly influential.
5. Research provided to NRCS in support of the Conservation Effects Assessment Project (CEAP), where ARS researchers are documenting, from field-to-landscape scale, the effects of conservation practices on our natural resources and the environment.
6. Research in water quantity and quality that has relevance to the missions of a number of other Federal Agencies (e.g., NASA, NOAA, EPA, USGS). Examples:
   a. water quality data collected in the Mississippi River Basin and the Chesapeake Bay watershed, relevant to understanding and managing eutrophication in Chesapeake Bay and the Gulf of Mexico, both of which have been linked in part to excess nutrients exported from agricultural lands; and
   b. water availability and drought monitoring and modeling in support of NIDIS (National Integrated Drought Information System)
   c. the current depletion of the Ogallala Aquifer
   d. agricultural water security and water use efficiency in general
7. Natl. Nutrient Database for Standard Reference and related nutrient content databases.
8. What We Eat in America/NHANES related food content and nutrient content databases.
9. Critical food protection and food security research, risk alerts.
10. Cereal rust surveys; provides essential support for federal regulatory and action agencies (APHIS, EPA, DHS, FBI) through providing alert for any exotic or highly virulent rust pathogen.
11. U.S. Wheat and Barley Scab Initiative Modeling and Prediction.
12. ARS crop genome databases (Gramene, Maize GDB, Legume Information Services, GrainGenes).
13. ARS variety trials.

NOTE: Research areas identified by NPLs.

Peer Review Plan

Title of Review: _____   [   ]   **Influential Scientific Information**

Agency: _____   [   ]   **Highly Influential Scientific Assessment**

Agency Contact: _____

Subject of Review: _____

Purpose of Review: We anticipate that the external peer reviewers will possess an in-depth knowledge of research conducted. Reviewers will be expected to focus on areas such as:

1. The evidence provided and whether the conclusions and inferences are correctly supported by the evidence.
2. Evaluate the methodology. Is the approach and process appropriate for the analysis?
3. Are there data or other evidence complete? Have any important data or considerations been omitted?
4. Are all important assumptions identified and uncertainties clearly stated?
5. Identify any relevant data or evidence not contained in the report.
6. Evaluate the quality and completeness of the individual components of the analysis.
7. Comment on whether/where the document is difficult to read or understand.

Type of Review: [   ]   Panel Review   [   ]   Individual Reviewers

                                   [   ]   Alternative Process (Briefly Explain):

                                   _____

Timing of Review (Est.):   Start: _____   End: _____   Completed: _____

Number of Reviewers: [ ] 3 or   [ ] 4 to 10   [ ]   More than 10
                               fewer

Primary Disciplines/Types of Expertise Needed for Review: _____

_____

_____

Reviewers selected by: [ ]   Agency   [ ]   Designated Outside
                                                                  Organization

                                         Organization's Name: _____

Opportunities for Public Comment?   [   ]   Yes   [   ]   No

    If yes, briefly state how and when these opportunities will be provided:
How: _____
When: _____

Peer Reviewers Provided with Public Comments?   [   ]   Yes   [   ]   No

Public Nominations Requested for Review Panel?   [   ]   Yes   [   ]   No

Other: _____

USDA